

Appendix B. Notice of Visit Letter

DATE

NAME OF PRESIDENT OR CHIEF EXECUTIVE OFFICER

NAME OF INSTITUTION

ADDRESS OF INSTITUTION

CITY, STATE & ZIP CODE

OPE ID:

EIN: X-XX-XXX-XXXX-XX

Dear **(NAME OF PRESIDENT OR CEO):**

As a participant in Title IV Federal student assistance programs, your institution is required to maintain complete and accurate records concerning the receipt and expenditure of Title IV funds. Periodic site reviews are necessary to provide assistance with any problems you may have in program administration.

For this purpose, on **XX/XX/XX**, **(PROGRAM REVIEWER(S) NAMES)** will be conducting a program review at your institution. Regulatory authority to examine program and fiscal records and conduct reviews may be found at 34 CFR 668.24 (d)(2) and (f)(1). Please be certain that all records are available on site for the start and for the duration of the review. For example, if the institution uses the services of a consultant to maintain some portion of its educational records, these records must be at the institution at the start and for the duration of the review. Also, please make arrangements for the reviewers to have access (view only) to any computer databases containing information related to Title IV eligibility or disbursements (e.g. computerized student account records). The institution must also provide access to its administrative staff and students. I also request that you provide working space for the reviewers.

The review may cover those programs included in your program participation agreement, and may include, but is not limited to, the following areas:

1. General institutional eligibility and program administration
2. Student financial aid records
3. Registrar records (including attendance and academic records)
4. Academic/Student services

5. Fiscal administration and records (including bank statements, ledgers and journals)

The initial focus of the review will cover your institution's administration of Title IV funds for the xxxx/xx, xxxx/xx, and xxxx/xx award years. All records requested by the reviewers pertain to those years, unless otherwise noted. Please note, however, that the institution must be prepared to provide records for at least the last three award years or as outlined in record retention requirements specified in regulations.

Please inform the personnel responsible for the areas listed and such other persons as you deem appropriate of the scheduled review so that they, or their designees, and the appropriate records would be available during the review. At the start of the review, the reviewers will meet with institutional officials to apprise them of the review process.

At the conclusion of the review, the reviewers will meet with you or your designee(s) to discuss the findings and recommendations. You will receive an official written report at a later date.

We request your assistance in expediting the review process by sending the following items prior to the on-site visit:

1. A copy of your most recent school catalog
2. A separate list for each award year (xxxx/xx, xxxx/xx, and xxxx/xx) of Title IV recipients. Please provide this information in an unduplicated and reconciled format, listing each student by name and social security number, specifying the dollar amount of Title IV student financial aid, by program, received by each recipient. Sequentially number the students in each report. We request the information be provided on a 3 1/2" computer disk, in EXCEL (IBM compatible) format, in hopes of facilitating your information gathering process and our ability to utilize the data. If you are unable to provide this information on disk, please provide hard-copy reports. Since the receipt of this information is very important to the review process, please call XXXXXXXX(name, telephone no.) if there are any questions or problems regarding the preferred format.

Forward the requested items to **(REVIEWER'S NAME)** of our office at the following address:

Case Team
Case Team Address
Case Team City, State and Zip Code

Depending upon the programs in which your institution participates, we request that the following records or documents be assembled in advance of the visit so that they are immediately available for examination by the reviewers at the start of the review.

- Organizational chart for all divisions and campus sites, including the names and phone numbers of administrators, officers, managers, and staff responsible for the administration of the Title IV programs
- Ability to benefit test, answer key, passing score, and the dates the test was in use
- Fiscal Operations Report and Application to Participate (FISAP), with supporting documentation
- Non-Federal (independent) SFA audit (most recent)
- Percentage of current students enrolled receiving Federal assistance
- Student status confirmation reports filed for the xxxx/xx, xxxx/xx, and xxxx/xx award years
- Copy of the school's default management plan (if required)
- A complete set of fiscal records for financial aid, including a chart of accounts, general ledgers and subsidiary ledgers, including lists of disbursements to students
- Original canceled checks, bank statements, deposit slips, checkbook or check roster and any back up documentation for cash request to ED Payments (EDPMTS) or Education Central Automated Processing System (EDCAPS)
- Federal Pell Grant Program Institutional Payment Summaries (IPS), and Statements of Accounts (SOA) and Recipient Financial Management System (RFMS) data
- Policies and procedures manual pertaining to the administration of Title IV programs
- Sample SFA forms used by your institution in operating its aid programs, such as any institutional applications for aid, contract/enrollment agreements and admission applications, tuition account cards, institutional verification forms, and student certification forms
- Sample worksheets used for administering Title IV funds, such as refund calculation worksheets, FFEL proration worksheets, etc.
- Cost of attendance budgets for all programs offered by the institution
- A copy of the institution's Perkins loan promissory note and disclosure statement and a copy of any servicer contract (if applicable)
- Copies of academic program approval notices issued by the state education department for each course offered by your school
- A copy of the latest letter issued by your accrediting body evidencing the accredited status of your school
- Copies of any contracts with third party servicers (e.g. financial aid, Perkins, ATB tester, etc.)
- Type of software programs used in administering Title IV
- A copy of the institution's program participation agreement (PPA) and Eligibility

- and Certification Approval Report (ECAR)
- Copies of the institution's financial statements for the last two fiscal years
- Refund repayment and refund distribution policies and satisfactory academic progress standard
- A copy of the institution's Campus Security Report
- Copies of any rules or regulations of your accrediting or licensing bodies.

Reviewers will provide a listing of a sample of students who received Title IV funds at your institution. For each of those students, the school must provide all academic, financial aid, and disbursement records which document the students' eligibility for, and receipt of, Title IV funds.

Additional records may be requested at the onset, and during the review as needed. These records may not be limited to the award years specified above. We will do our best to ensure that this visit is conducted as expeditiously as possible.

If you have any questions, please call **(REVIEWER NAME)** at **(XXX) XXX-XXXX**. Thank you for your cooperation.

Sincerely,

(NAME), ACD or Co-Team Leader
CASE MANAGEMENT - QUADRANT
CASE MANAGEMENT TEAM

cc: **FINANCIAL AID DIRECTOR**